



HEALTH AND WELFARE SECTOR EDUCATION AND TRAINING AUTHORITY

MONITORING POLICY

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1. ABBREVIATIONS

AQP	Assessment Quality Partner
CIPC	Companies and Intellectual Property Commission
DQP	Development Quality Partner
ETDPSETA	Education, Training and Development Practices Sector Education and Training Authority
ETQA	Education and Training Quality Assurance
HWSETA	Health and Welfare Sector Education and Training Authority
MOU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NLRD	National Learner Record Database
NQF	National Qualification Framework
POE	Portfolio Of Evidence
QCTO	Quality Council for Trades and Occupations
QMS	Quality Management System
RPL	Recognition of Prior Learning
SDA	Skills Development Act
SDL	Skills Development Levies (Act)
SAQA	South African Qualification Authority
SETA	Sector Education and Training Authority
SDP	Skills Development Provider
SMS	Seta Management System

2. DESCRIPTION OF TERMS

Accreditation	Means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfil a particular function within the quality assurance system set up by SAQA.
Accreditation scope	Means the list of qualifications and or skills programmes for which a skills development provider is accredited.
Accreditation site visit	Means a visit that is conducted by the HWSETA to verify claims made by a training provider in the letter of intent and the accreditation application file, which enables the HWSETA to gather evidence for accreditation.
Achievement	Means the recognition granted to a learner when all required learning outcomes have been successfully demonstrated.
Appeal	Means a process of seeking a review of a decision already made, from higher authority.
Applicant skills development provider	Means a skills development provider who is in the process of applying for accreditation or programme approval with the HWSETA.
Assessment	Means the process in which evidence is gathered and evaluated against agreed criteria in order to make a judgment of competence for developmental and/or recognition purposes.
Assessor or constituent Assessor	Means a person who is registered by the relevant ETQA body to measure the achievement of specified National Qualifications Framework standards or qualifications.
Audit	Means the process undertaken to measure the quality of services that have already been delivered.
Code of Conduct	Means a set of conventional principles and expectations considered binding on any person/s or organisation/s registered, approved and/or accredited by the HWSETA.

Education and Training Quality Assurance	Means a body accredited in terms of section 5 (1)(a)(ii) of the SAQA Act, responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned in terms of section 5 (1)(b)(i) of the Act.
Extension of scope	Means the addition of qualification(s), skills programmes and/or unit standard(s) after approval of the initial application.
Facilitator	Means an individual who facilitates learning processes and activities and manages and administers assessment: educator, teacher, trainer, mentor etc.
Full cycle of training	Means the process whereby the skills development provider has recruited, registered, trained learners, assessed, moderated and verified learners' achievements through HWSETA verification process which led to certificates and or statement of results being issued.
Learning programmes	Means a combination of courses, modules or units of learning by which learners can achieve learning outcomes.
Mentor	Means a professional who is charged with the task of helping to train, advise, and share practical experience with the new person in an organisation.
Moderation	Means the process which ensures that assessment of the outcomes described in the NQF standards and qualifications is fair, reliable and valid.
Moderator	Means a person who has achieved competence against the moderator standard, certified by the ETDP SETA and registered by an ETQA.
Monitoring	Means a systematic continuous observation process and recording of activities to ensure quality compliance to set criteria and agreed developmental areas for improvement purposes.

National learner record database	Means an electronic information system that assists the South African Qualifications Authority (SAQA) to manage the National Qualifications Framework.
Non-governmental organisation	Means an organisation set up by ordinary citizens, (primarily run by volunteers or funded by governments, foundations or businesses) that is not part of a government or established for profit-making purposes.
Organisations	Means legally established entities in line with CIPC requirements and in good standing (which may include but not be limited to national and provincial government departments and agencies, institutions, NGOs, companies, centres and consultancies).
Policy	Means a statement of intent implemented as a set procedure or protocol.
Professional Body	Means a body of expert practitioners in an occupational field.
Programme approval	Means a secondary accreditation of an SDP through an MOU signed between the ETQAs.
Quality assurance	Means the process of ensuring that the specified degree of excellence is achieved.
Quality management system	Means the combination of policies and processes used to ensure that the specified degree of excellence is achieved.
Recognition of prior learning	Means the comparison of the previous learning and experience of a learner, howsoever obtained, against the learning outcomes required for a specified qualification, and the acceptance for purposes of qualification of that which meets the requirements,
Registered qualifications	Means qualifications registered by SAQA on the National Qualifications Framework.
Registered unit standards	Means unit standards registered by SAQA on the National Qualifications Framework.
Scope of accreditation	Means the list of qualification/s and/or skills programme/s for which a skills development provider is accredited.

Scope of registration	Means the list of qualification/s, skills programme/s and/or unit standard/s for which an assessor or moderator is registered.
Skills programme	Means the bundling of unit standards from the same qualification that addresses an identified need and allows for progression/completion of a full qualification.
Skills development provider	Means an organisation that is accredited or approved to deliver learning programmes.
Statutory Body	Means a company or organisation created by law or statute in order to regulate or carry out a public function.
Training site	Means a venue specifically designed, meant, and equipped for theoretical and practical learning delivery.

3. POLICY STATEMENT

- 3.1. The HWSETA, as one of the ETQAs delegated to carry out the quality assurance function of promoting quality learning in the Health and Social Development Sector, shall take into consideration the provisions of the NQF Act No. 67 of 2008 and related legislation promulgated for this mandate.
- 3.2. The HWSETA shall accredit and approve SDPs in line with this policy. Accreditation processes and tools shall be adhered to in order to ensure uniformity in implementing this policy. A developmental approach shall be adopted when gaps are identified and much needed support shall be provided to SDPs.

4. REGULATORY FRAMEWORK

- 4.1. NQF Act 67 of 2008;
- 4.2. SDA Act 97 of 1998 (as amended by the SDL Act 9 of 1999, Skills Development Amendment Act 31 of 2003, Skills Development Amendment Act 37 of 2008, Higher Education Laws Amendment Acts 26 of 2010); and

- 4.3. Sub-regulation 9(1) (a) of the Education and Training Assurance bodies regulation, 1998 (No.R1127 of 1998).

5. PURPOSE

The purpose of this policy is to:

- 5.1. communicate clear monitoring guidelines to stakeholders;
- 5.2. ensure that the HWSETA implements its quality assurance mandate;
- 5.3. ensure compliance by accredited SDPs to relevant HWSETA policies; and
- 5.4. ensure standardisation and consistency of the monitoring process.

6. SCOPE AND RESPONSIBILITIES

- 6.1. This policy shall apply to HWSETA Officials, SDPs, ETQA Standing Committee, EXCO and HWSETA Board;
- 6.2. The HWSETA shall ensure that this policy is implemented by skills development providers;
- 6.3. Accredited skills development providers shall comply with the requirements of this policy;
- 6.4. ETQA Standing Committee shall advise and ensure that the policy is aligned to applicable legislation;
- 6.5. Executive Committee shall monitor the implementation of the policy; and
- 6.6. HWSETA Board shall approve this policy and subsequent reviewed versions thereof.

7. PRINCIPLES

The following principles shall guide the implementation of this policy:

- 7.1. Ensuring courtesy;
- 7.2. Providing information;
- 7.3. Ensuring openness and transparency; and
- 7.4. Ensuring availability of redress;

8. MONITORING CRITERIA

- 8.1. The HWSETA accredited and approved SDPs shall be monitored annually by the HWSETA officials;
- 8.2. Monitoring shall be conducted at the SDP site, training sites and workplaces;
- 8.3. Monitoring at SDP site shall be conducted to verify whether:
 - 8.3.1. the SDP is addressing developmental areas identified and agreed to during the accreditation site visit;
 - 8.3.2. the SDP is keeping evidence when implementing policies and is also following the stated procedure and using the tools presented to the HWSETA;
 - 8.3.3. approved learning materials are kept safe and on site;
 - 8.3.4. there are any changes to any information initially submitted to the HWSETA; and
 - 8.3.5. the SDP requires any support from the HWSETA to comply.
- 8.4. Monitoring at training sites shall be conducted to quality assure training delivery by verifying whether:
 - 8.4.1. the training venue, equipment and resources are conducive for training;
 - 8.4.2. linked registered Assessors and Moderators are used;
 - 8.4.3. the HWSETA-approved learning materials are used for training;
 - 8.4.4. learners' details are correctly uploaded onto the SMS;
 - 8.4.5. the facilitator uses language which is clearly understood by learners and that learners understand the learning content;
 - 8.4.6. the PoEs are completed and signed off by the mentors, assessors and moderators;
 - 8.4.7. the learner-Assessor ratio of 1:30 is complied with;

- 8.4.8. the moderation sample of 50% has been complied with (legal standing on limiting the number of classes at a time)
- 8.4.9. the SDP is monitoring experiential learning progress upon placement.
- 8.5. Monitoring at the workplace shall be conducted to quality assure learner experiential learning by verifying whether:
 - 8.5.1. learners are allocated mentors to support them through the learning process;
 - 8.5.2. learners understand what evidence is required in the PoEs;
 - 8.5.3. learners are provided space, opportunity and support;
 - 8.5.4. attendance registers and logbooks are signed every day by all learners;
 - 8.5.5. logbooks are completed and signed by the learners and the supervisors; and
 - 8.5.6. learners are able to link theoretical to experiential learning by gathering and compiling relevant evidence in their Portfolio of Evidence files.
- 8.6. SDPs shall notify the HWSETA of any training aligned to HWSETA accreditation scope before implementation so that monitoring can take place;
- 8.7. The notification shall be made by completing and submitting the “*training implementation intent*” form and attaching the training schedule/s with training site addresses;
- 8.8. Monitoring shall take the form of announced and unannounced site visits;
- 8.9. A monitoring tool, which serves as a report shall be completed during monitoring site visits.
- 8.10. No access shall be denied to the HWSETA officials for announced and unannounced visits at accredited and approved SDPs sites. (It is the responsibility of the SDPs to allow HWSETA officials access to their sites).

- 8.11. Accredited SDPs shall be required to keep records of all evidence related to aligned policy implementation and present this to the HWSETA official/s conducting monitoring;
- 8.12. Timeframes for addressing the noncompliance areas shall be discussed and agreed upon by the SDP and the HWSETA official;
- 8.13. A monitoring report and a development plan with clearly defined timeframes signed by both parties shall be sent to the SDP within seven working days after the monitoring site visit has been conducted;
- 8.14. The HWSETA official shall verify whether the non-conformance areas identified had been addressed in the subsequent monitoring visits;

9. RELATIONSHIP TO OTHER HWSETA POLICIES

This policy shall be read in conjunction with the following HWSETA policies:

- 9.1. Accreditation;
- 9.2. Certification;
- 9.3. Assessment;
- 9.4. Moderation and verification;
- 9.5. Learning programme development and evaluation; and
- 9.6. RPL

10 POLICY REVIEW

- 10.1 The policy shall be reviewed in line with the HWSETA policy review process and standards;